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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1

of

3

Complete if Known

Application Number	10/606,542
Filing Date	June 26, 2003
First Named Inventor	Breen
Group Art Unit	3624
Examiner Name	Not Yet Assigned
Attorney Docket Number	4923/28

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
[Signature]		4,674,044		Kalmus et al.	6/16/87	Cl 5 Sub
		4,677,552		Sibley, Jr.	6/30/87	
		5,101,353		Lupien et al.	3/31/92	
		5,270,922		Higgins	12/14/93	
		5,297,031		Guterman et al.	3/22/94	
		5,497,317		Hawkins et al.	3/5/96	
		5,689,652		Lupien et al.	11/18/97	
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		5,890,140		Clark et al.	3/30/99	
		5,893,079		Cwenar	4/6/99	
		5,911,136		Atkins	6/8/99	
		5,918,218		Harris et al.	6/29/99	
		5,926,801		Matsubara et al.	7/20/99	
		5,946,666		Nevo et al.	8/31/99	
		6,035,287		Stallaert et al.	3/7/00	
		6,112,189		Rickard et al.	8/29/00	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	U.S. Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
[Signature]		PCT	WO 99/46658		Folio Trade	9/16/99		
		PCT	WO 01/22339		D.E. Shaw	3/29/01		
		PCT	WO 01/37122	A2	D.E. Shaw	5/25/01		

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Sheet 2

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First Named Inventor	Breen
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Attorney Docket Number	4923/28

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		StockPower – The Power of Investing Direct, http://www.stockpower.com , one page, printed 5/20/99.	
		StockPower – More Information, http://www.dsp.stockpower.com/information/moreinfo_content.html , 6 pgs., printed 5/20/99.	
		StockPower – Homepage Questions Answered, http://www.stockpower.com/info/hp_faq.html , one page, printed 5/20/99.	
		Alio, Greg, "Long-Term Investors Get Short Shrift on Web," http://www.stockpower.com/indexarticle/overloaded.htm , 2 pgs., printed 5/20/99.	
		Runkle, George, "Dripping on the Web," http://www.fool.com/Server/FoolPrint.asp , 2 pgs., printed 5/20/99.	
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		Netstock Direct Corp. press release, 10,000 Transactions Mark Trend in Online Direct Investing, http://www.netstockdirect.com/press/wizrelease.as , 1 pg., printed 5/20/99.	
		Netstock Direct Corp., website search results on search for "EEO Online DSP/DriP Companies", http://www.netstockdirect.com/nsdasp/DetailLevel1.asp , 1 pg., printed 5/20/99.	
		Netstock Direct Corp. press release, Netstock Direct Corporation Teams with the Bank of New York for Direct Investing Breakthrough, http://www.netstockdirect.com/press/release.asp , 2 pgs., printed 5/20/99.	
		Netstock Direct Corp., What's New at Netstock, http://www.netstockdirect.com/resources/whatsnew.asp , 1 pg., printed 5/20/99.	
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		Netstock Direct Corp., First Time Here?, http://www.netstockdirect.com/account/youraccount.asp , 1 pg., printed 5/20/99.	
		Netstock Direct Corp., press release, Netstock Direct Teams with Norwest Shareowner Services to Offer Direct Investing Plans, http://www.netstockdirect.com/press/norwestrelease.asp , 1 pg., printed 5/20/99.	
		DRIP Investor, DRIP Investor brings you the latest news on Dividend Reinvestment Plans, http://www.dripinvestor.com/info.html , 1 pg., printed 6/9/99.	
		DRIP Investor Information Center, http://www.dripinvestor.com/info.html , 1 pg., printed 6/9/99.	
		Carlson, Charles, "Buying Stocks Without a Broker Using Dividend Reinvestment Plans", http://www.dripinvestor.com/comp1.html , 8 pgs., printed 6/9/99.	
		Shareholder Communications Corp. survey (two 1-page surveys and a return envelope); publication date not known, but prior to 10/27/98.	
Examiner Signature		Date Considered	8/28/04

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